PTO/SB/08A (08-03) Approved for use through 07/31/2008. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

n Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Paperwork Red Substitute for Born 1449/PTO

Sheet 1

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

of 1

Complete if Known				
Application Number	10/535,298			
Filing Date	05/17/2005			
First Named Inventor	M.J.W. Mertens, et.			
Art Unit	2644			
Examiner Name				
Attorney Docket Number	NI 021458			

			U. S. PATEN	T DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number Number-Kind Code ^{2 (d known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code	1111011000	0	
PL	l	US- 5987142	11/16/1999	Courneau et. al.	
		US-			·
		US-			
		US-			
	1	US-			
		US-			
	 	US-			
		US-			
	1	US-			
		US-			
	1	US-			
<u> </u>	1	US-			
	†	US-			
	1	US-			
	1	US-			
	 	US-			

	FOREIGN PATENT DOCUMENTS							
Examiner thitials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages			
1110010		Country Code ³ "Number ⁴ "Kind Code ⁵ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	100		
				·		Г		
	-				 			
						\top		
	 				 	╄		

Examiner /Ping Lee/	Date Considered	09/28/2006
-----------------------	--------------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to CUSPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for indicating this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SIDERS OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1430.



PTO/SB/08B (08-03)

Approved for use through 07/31/2008, OMB 0851-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449/PTO				Complete if Known		
				Application Number	40/6	352Q
INF	ORMATION	DIS	CLOSURE	Filing Date	317// 2	<u> </u>
STA	TEMENT E	BY A	PPLICANT	First Named Inventor MERTENS et al.		
				Art Unit		
	(Use as many she	ets as n	ecessary)	Examiner Name		
Sheet	1	of	1	Attorney Docket Number	NL 021458	

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
PL		"Creating Source Elevation Illusions by Spectral Manipulation" P. Jeffrey Bloom. pp. 560-565.	
PL		"Headphone simulation of free-field listening. I:Stimulus synthesis" F.L. Wightman et al. pp. 858-867.	
PL		"Using inter-positional transfer functions in 3D-sound" L.W.P. Biscainho et al. pp. 1961-1964.	
		,	

			
Examiner		Date	00/20/2006
Signature	/Ping Lee	Conside	ered 09/28/2006
	722119 2007	00000	

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to approant.

Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the Individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing the USPTO. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22513-1456.



PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid QMB control number. Complete if Known Substitute for form 1449/PTO **Application Number** Filing Date INFORMATION DISCLOSURE First Named Inventor MERTENS et al. STATEMENT BY APPLICANT Art Unit (Use as many sheets as necessary) **Examiner Name** Sheet 1 Attorney Docket Number NL 021458 of |1

		r	U. S. PATEN	DOCUMENTS	
Examiner Initials*	Cite No.1	Number-Kind Code ² (F known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
PL		^{US-} 6,230,047 B1	05-08-2001	McHugh	
		US-			
	1	US-			
		US-			
		US-			
• •		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-		-	
		US-			
		US-			
		US-		1	-
		US-			

Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	Γ
		Country Code ³ Number ⁴ Kind Code ³ (if known)	MM-DD-YYYY	- Aprilation of the positions	Or Relevant Figures Appear	T°
PL		WO 01/49066 A2	07-05-2001	KPENV		
						L
		· · · · · · · · · · · · · · · · · · ·				Ļ
						L

Examiner Signature	/Ping Lee/	Date Considered	09/28/2006

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant, 'Applicant's unique citation designation number (optional). *See Kinds Codes of USPTO Patent Documents at www.usplo.gov or MPEP 901.04. *Senter Office that issued the document, by the two-letter code (WIPO Standard ST.3). *For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. *Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. *Applicant is to place a check mark here if English language Translation is attached.

Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.